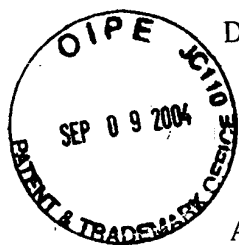


1Fw

PATENT

Docket No. 101-27-015



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Douglas W. Hagan

Serial No. 10/799,393

Group Art Unit: 2875

Filed: March 12, 2004

Examiner: Unknown

Title: IN-GRADE LIGHT FIXTURE WITH LEVELING AND ALIGNMENT  
MECHANISMS, INSTALLATION FEATURES AND ANTI-CONDENSATION  
VALVECommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

Sir:

Pursuant to 37-C.F.R. §§ 1.56 and 1.97(b), applicants bring to the attention of the Examiner the documents listed on the attached Form PTO-1449. This Information Disclosure Statement is being filed within three months of the filing of the above referenced application or before the mailing date of a first Office Action on the merits for the above-referenced application.

In accordance with the PTO procedure, (all patent applications filed after June 30, 2003), we have not enclosed the U.S. patent references cited on PTO form 1449.

Applicants respectfully request that the Examiner consider the listed documents and evidence that consideration of relevant portions thereof by making appropriate notations on the attached form.

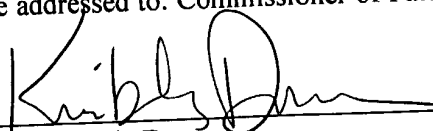
This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art". If the Examiner applies any of the documents as prior art

## CERTIFICATE OF MAILING

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08/27/04

Date


  
Kimberly Dawson

against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Respectfully submitted,

Dated: 8/27/04

  
Jaye G. Heybl  
Registration No. 42,661  
Attorney for Applicant


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Thousand Oaks, California 91360  
(805) 373-0060  
U:\V\1\101-27-015 IDS-1.97(b).doc

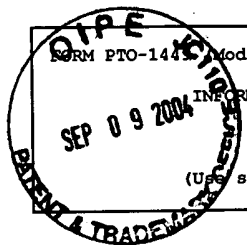
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Kimberly Dawson



FORM PTO-1449 (Modified) INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)	Docket No. 101-27-015	Application Number 10/799,393
	Applicant DOUGLAS W. HAGEN	
	Filing Date March 12, 2004	Group Art Unit 2875

## U.S. PATENT DOCUMENTS

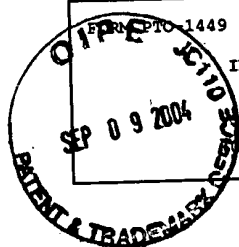
Examiner Initial	Document Number							Date	Name	Class	Subclass	Filing Date If Appropriate
	5	8	4	2	7	7	1	12-1-98	THRASHER et al.	362	101	
	5	7	4	3	6	2	2	4-28-98	IBBETSON et al.	362	153.1	
	5	9	0	8	2	3	6	6-1-99	LEUKEN et al.	362	364	
	5	8	8	7	9	6	6	3-30-99	EISSNER et al.	362	153.1	

## FOREIGN PATENT DOCUMENTS

	Document Number							Date	Country	Class	Subclass	Translation	
												Yes	No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	1	THINK PEI-GENESIS FOR MILITARY AND INDUSTRIAL CONNECTORS. 2001 <u>PEI-GENESIS</u> . 28 April 2002 <a href="http://www.pei-genesis.com/">http://www.pei-genesis.com/</a>
	2	"KING WATERPROOF." 2001. ONLINE IMAGE. <u>KING SAFETY PRODUCTS</u> . 28 April 2002. <a href="http://www.kingsafety.com:8080/CLIENT/KINGSAFETY/PRODUCTION/DATA/MODEL/VIEW/WATERPROOF_SPEC_INFO.HTML">HTTP://WWW.KINGSAFETY.COM:8080/CLIENT/KINGSAFETY/PRODUCTION/DATA/MODEL/VIEW/WATERPROOF SPEC INFO.H</a> <u>TML</u>
	3	PRECISION <sup>2</sup> IN-GRADE LIGHTING: TAKING ARCHITECTURAL LIGHTING TO THE NEXT POWER. <u>B-K LIGHTING</u> . "HP <sup>2</sup> CO <sup>2</sup> MR 16 INTEGRAL TRANSFORMER." p. 5.
	4	LUMIERE CORONADO 750 SERIES. "CORONADO: ULTRA-COMPACT HID IN-GROUND LUMINAIRES." <u>COOPER LIGHTING</u> .
	5	"SURE-SEAL CONNECTIONS: TECHNICAL SPECIFICATIONS". <u>SURE-SEAL</u> . Catalog pp. 1-3
Examiner		Date Considered
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		



PREPTO-1449 (Modified) INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)	Docket No. 101-27-015	Application Number 10/799,393
	Applicant Hagen, Douglas W.	
	Filing Date 03/12/04	Group Art Unit 2875

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number							Date	Name	Class	Subclass	Filing Date If Appropriate
	5	7	2	7	8	7	3	03/17/98	Tyson	362	294	01/23/96
	5	4	8	6	9	8	8	01/23/96	Tyson	362	267	04/11/95
	5	0	4	1	9	5	0	08/20/91	Tyson	362	96	08/03/89
	4	5	7	4	3	3	7	03/04/86	Poppenheimer	362	267	02/10/84
	5	5	5	6	1	8	8	09/17/96	Poppenheimer	362	101	05/22/95
	5	4	8	3	4	2	8	01/09/96	Poppenheimer	362	101	03/31/94
	5	3	4	9	5	0	5	09/20/94	Poppenheimer	362	101	11/24/92
	5	2	7	6	5	8	3	01/04/94	Tyson	361	679	03/30/93
	4	9	9	9	7	5	7	03/12/91	Poppenheimer	362	287	08/15/89
	4	7	6	8	1	3	9	08/30/88	Poppenheimer	362	302	04/27/87
	4	6	7	4	1	8	7	06/23/87	Poppenheimer	30	360	01/22/86

## FOREIGN PATENT DOCUMENTS

Document Number								Date	Country	Class	Subclass	Translation	
												Yes	No
DE	3	6	3	5	8	0	8	05/05/88	Germany			No	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	1	HYDREL Data Sheet, 9000 Series Incandescent 75 Watt Max. In-grade Luminaire, IP67, 4/2000
	2	HYDREL Data Sheet, 9100 Series HID 175 Watt Max. In-grade Luminaire, IP67, 11/2000
	3	HYDREL Data Sheet, 9100 Series Incandescent 250 Watt Max. In-grade Luminaire, IP67, 4/2000
	4	HYDREL Data Sheet, 9300 Series 9 1/4" DIA. Well Lights, IP67, 5/2003
	5	HYDREL Data Sheet, 9350 Series 11 1/4" Well Lights, IP67, 5/2003
	6	HYDREL Data Sheet, M9400 Series Fluorescent 32 Watt Max. Modular In-grade Luminaire Double Lens, IP67, 11/2000
Examiner		Date Considered
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		

FORM PTO-1449 (Modified)  INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)	Docket No. 101-27-015	Application Number 10/799,393
	Applicant Hagen, Douglas W.	
	Filing Date 03/12/04	Group Art Unit 2875

## U. S. PATENT DOCUMENTS

Examiner Initial	Document Number							Date	Name	Class	Subclass	Filing Date If Appropriate
	4	5	7	4	3	3	7	03/04/86	Poppenheimer	362	267	02/10/84
	4	5	3	9	6	2	9	09/03/85	Poppenheimer	362	267	02/10/84
	D	4	7	7	1	0	5S	07/08/03	Herst et al.	D26	76	04/22/02
	D	4	7	6	7	7	1S	07/01/03	Herst et al.	D26	155	04/22/02
	6	5	7	7	1	3	B1	06/10/03	Marques	324	426	04/23/02
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	D	4	7	3	0	0	7S	04/08/03	Herst et al.	D26	113	12/24/01
	D	4	7	2	6	6	8S	04/01/03	Herst et al.	D26	118	12/24/01
	D	4	7	2	6	6	7S	04/01/03	Herst et al.	D26	118	12/24/01
	D	4	7	2	6	6	6S	04/01/03	Herst et al.	D26	113	12/24/01

## FOREIGN PATENT DOCUMENTS

	Document Number							Date	Country	Class	Subclass	Translation	
												Yes	No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	7	HYDREL Data Sheet, M9700 Series Fluorescent 42 Watt Max. Modular In-grade Luminaire Double Lens, IP68, 11/2000
	8	HYDREL Data Sheet, M9800 Series HID 400 Watt Max. Modular In-grade Luminaire Double Lens, IP67, 11/2000
	9	HYDREL Data Sheet, WD9000 Series Low Voltage 75 Watt Max. "Wet/Dry" Fixture, IP67, 11/2000
	10	HYDREL Data Sheet, WD9100 Series Incandescent 250 Watt Max. "Wet/Dry" Up-lights, 11/2000
	11	Kim Lighting Inc., Concept 5000 Catalog, ©1982, this version ©1993, Version 9/93
	12	HYDREL Catalog, Pg. 15, Models 6322-6324 300 Watt Incandescent - 240 Watt 12V Incandescent
Examiner		Date Considered
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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FORM PTO-1449 (Modified)  INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)	Docket No. 101-27-015	Application Number 10/799,393
	Applicant Hagen, Douglas W.	
	Filing Date 03/12/04	Group Art Unit 2875

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number							Date	Name	Class	Subclass	Filing Date If Appropriate
	D	4	7	2	6	6	5S	04/01/03	Herst et al.	D26	113	12/24/01
	6	5	3	0	6	8	1 B2	03/11/03	Sieczkowski	362	404	05/15/01
	6	4	9	9	8	6	6 B1	12/31/02	Logan et al.	362	362	10/31/00
	D	4	6	8	0	4	9S	12/31/02	Reis et al.	D26	89	02/11/02
	D	4	6	8	0	4	6S	12/31/02	Bernard et al.	D26	85	10/17/01
	D	4	6	7	6	7	7S	12/24/02	Reis et al.	D26	88	02/11/02
	D	4	6	7	6	7	6S	12/24/02	Packer et al.	D26	72	01/07/02
	6	4	8	1	8	6	7 B2	11/19/02	Ewing	362	226	03/09/01
	D	4	6	1	2	6	7S	08/06/02	Arumugasaamy	D26	85	02/28/00
	5	4	8	1	4	4	3	01/02/96	Wagner et al.	362	153.1	05/19/93
	4	6	1	7	6	1	6	10/14/86	Juell et al.	362	267	08/28/85

## FOREIGN PATENT DOCUMENTS

	Document Number							Date	Country	Class	Subclass	Translation	
												Yes	No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	13	HYDREL, Update Letter Architectural & Landscape Catalog, 09-01-86
	14	HYDREL Catalog, Pg. 14, Models 6302 & 6312 - 6316 150 Watt Incandescent - 100/175Watt Mercury Vapor
	15	Prescolite DW10/89, O-108, Low Voltage Incandescent Ground Mount Precision Uplights, Flush Guard with Convex Tempered Lens, Copyright 1989
	16	HYDREL Architectural & Landscape Catalog, Pg. 1-30
	17	Prescolite Catalog, Selection Index and Pgs. 4-10
	18	Prescolite DW10/89, O-115, HID Ground Mount Precision Uplights, Lexan Dome with Convex Tempered Lens, Copyright 1989
Examiner		Date Considered

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	4	9	3	1	9	1	5	06/05/90	Quiogue	362	267	03/23/89
	3	7	7	0	8	7	8	11/06/73	Dozier	174	153 R	12/06/71
	5	7	4	3	6	2	2	04/28/98	Ibbitson et al.	362	153.1	08/14/96
	4	1	3	1	3	3	1	12/26/78	Kendall, Jr.	339	126 RS	11/18/77
	2	8	0	6	0	8	0	09/10/57	Corey	346	636	04/03/53
	5	4	0	8	3	9	7	04/18/95	Tyson	362	267	01/04/94
	5	0	5	0	0	5	2	09/17/91	Wade	362	101	11/21/88
	5	2	0	7	4	9	9	05/04/93	Vajda et al.	362	96	06/04/91
	3	6	3	5	8	0	8	01/18/72	Elevitch	204	180 G	11/17/69
	1	2	4	0	4	5	2	09/18/17	Hotchkin	103	086	06/12/16
	3	9	4	9	2	1	3	04/06/76	Paitchell	240	26	02/11/74

## FOREIGN PATENT DOCUMENTS

	Document Number							Date	Country	Class	Subclass	Translation	
												Yes	No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	19	Prescolite DW10/89, O-105, Incandescent Ground Mount Precision Uplights, Lexan Dome with Convex Tempered Lens, Copyright 1989
	20	HYDREL 6000 Series Architectural Lighting Catalog
Examiner	Date Considered	
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FORM PTO-1449 (Modified)  INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)	Docket No. 101-27-015	Application Number 10/799,393
	Applicant Hagen, Douglas W.	
	Filing Date 03/12/04	Group Art Unit 2875

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	4	0	0	0	4	0	6	12/28/76	Bhavsar	240	11.2 R	11/29/74
	4	3	4	3	0	3	3	08/03/82	Suzuki	362	307	02/22/80
	4	4	3	3	3	6	6	02/21/84	Wade	362	267	09/30/82
	4	4	3	0	9	4	4	02/14/84	Theurer	104	7 R	02/09/81
	4	6	9	5	9	3	0	09/22/87	Wierzbicki et al.	362	293	10/03/85
	3	8	4	5	4	3	5	10/29/74	Georgopoulos	336	65	01/02/74
	3	8	6	9	5	6	3	03/04/75	Ocken, Jr.	174	52 PE	09/27/73
	4	1	4	3	5	0	8	03/13/79	Ohno	58	23 R	06/16/76
	4	6	9	4	1	1	9	09/15/87	Groenewegen	174	52 PE	12/31/84
	4	9	5	6	5	6	1	09/11/90	Tamer	307	10.1	12/27/88
	5	0	1	1	9	5	0	03/30/91	Fukuoka et al.	549	336	02/02/88

## FOREIGN PATENT DOCUMENTS

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												Yes	No

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## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number							Date	Name	Class	Subclass	Filing Date If Appropriate
	5	1	9	8	9	6	2	03/30/93	Tyson	361	380	02/11/91
	3	1	9	2	3	7	9	06/29/65	De Garmo	201	972	06/12/62
	3	3	3	9	0	6	6	08/29/67	Hart	500	710	10/22/65
	4	3	4	4	1	1	8	08/10/82	Rundquist et al.	362	267	03/31/80
	4	4	6	0	9	4	4	07/17/84	Gordbegli et al.	362	276	05/17/83
	R	E	3	4	7	0	9	08/30/94	Tyson	362	96	04/09/93
	5	1	9	5	9	6	2	03/23/93	Martin et al.	604	43	12/22/88
	6	4	9	9	2	2	7 B1	12/31/02	Jacobson	34	106	11/28/00

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